

11-24-06
REFUND COMPLETED
PCT NATIONAL DIVISION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Stadelman et al.

Confirmation No. 6380

Serial No.: 10/599,267

CUSTOMER NUMBER 30743

Filed: September 25, 2006

Examiner: not yet assigned

For: ELECTRODE ASSEMBLY FOR THE ELECTROCHEMICAL TREATMENT OF
LIQUIDS WITH A LOW CONDUCTIVITY

Commissioner for Patents
PO Box 1450
Alexandria, Virginia 22313-1450


SUBMISSION OF SMALL ENTITY FORMS AND
REQUEST FOR REFUND

Sir:

It has come to the applicant's attention that the above-identified application should be considered to have Small Entity status. At the time of filing Large Entity fees were paid. Therefore, submitted herewith are three (3) Small Entity Statements regarding the above-identified patent application. A Small Entity statement is being submitted herewith which has been signed by each of the inventors. Further, two Statements each signed by the respective Assignees are also being submitted herewith.

The original amount of \$1,030.00 was paid at the time of filing. The filing fee was originally calculated as being \$900 and the surcharge of \$130 for submitting an executed Declaration document after the initial filing. Applicant respectfully requests a refund in the amount of \$515.00 (the difference between the small and large entity fees) be credited to Attorney's Deposit Account 50-2041.

Respectfully submitted,


Michael E. Whitham
Registration No. 32,635

CUSTOMER NUMBER 30743
Whitham, Curtis, Christofferson & Cook, PC
11491 Sunset Hills Road, Suite 340
Reston, Virginia 20190
703-787-9400

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VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) AND 1.27 (b)) - INDEPENDENT INVENTOR			Docket No. 03100326A.A
Application No. 10/599,267	Filing Date 09/25/2006	Patent No. N/A	Issue Date N/A
Applicant/ M. Stadelmann et al. Patentee: N/A			
Invention: ELECTRODE ASSEMBLY FOR THE ELECTROCHEMICAL TREATMENT OF LIQUIDS WITH A LOW CONDUCTIVITY			
<p>As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled above and described in:</p> <p> <input type="checkbox"/> the specification to be filed herewith. <input checked="" type="checkbox"/> the application identified above. <input type="checkbox"/> the patent identified above. </p> <p>I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).</p> <p>Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:</p> <p> <input type="checkbox"/> No such person, concern or organization exists. <input checked="" type="checkbox"/> Each such person, concern or organization is listed below. </p> <p>*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27)</p> <div style="margin-top: 10px;"> <p>FULL NAME <u>CONDIAS GmbH</u></p> <p>ADDRESS <u>Fraunhofer Strasse 1b, 25524 Itzehoe Germany</u></p> <p style="text-align: center;"> <input type="checkbox"/> Individual <input checked="" type="checkbox"/> Small Business Concern <input type="checkbox"/> Nonprofit Organization </p> </div> <div style="margin-top: 10px;"> <p>FULL NAME <u>G.E.R.U.S. Gesellschaft für elektrochemisches Recycling Umwelt-und Solartechnologie mbH</u></p> <p>ADDRESS <u>Ostendstrasse 1, 12459 Berlin, Germany</u></p> <p style="text-align: center;"> <input type="checkbox"/> Individual <input checked="" type="checkbox"/> Small Business Concern <input type="checkbox"/> Nonprofit Organization </p> </div> <div style="margin-top: 10px;"> <p>FULL NAME _____</p> <p>ADDRESS _____</p> <p style="text-align: center;"> <input type="checkbox"/> Individual <input type="checkbox"/> Small Business Concern <input type="checkbox"/> Nonprofit Organization </p> </div> <div style="margin-top: 10px;"> <p>FULL NAME _____</p> <p>ADDRESS _____</p> <p style="text-align: center;"> <input type="checkbox"/> Individual <input type="checkbox"/> Small Business Concern <input type="checkbox"/> Nonprofit Organization </p> </div>			

P03/REV02

Patent and Trademark Office-U.S. DEPARTMENT OF COMMERCE

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I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF INVENTOR Manuela Stadelmann *M. Stadelmann*
SIGNATURE OF INVENTOR _____ DATE: 24.10.06

NAME OF INVENTOR Manfred Blaschke *M. Blaschke*
SIGNATURE OF INVENTOR _____ DATE: 16.10.2006

NAME OF INVENTOR Maja Wuensche *M. Wuensche*
SIGNATURE OF INVENTOR _____ DATE: 17.10.2006

NAME OF INVENTOR Helmut Petzer
SIGNATURE OF INVENTOR *H. Petzer* DATE: 16.10.2006

NAME OF INVENTOR Alexander Kraft
SIGNATURE OF INVENTOR *A. Kraft* DATE: 24. Oct. 2006

NAME OF INVENTOR Thorsten Matthée
SIGNATURE OF INVENTOR *T. Matthée* DATE: 23. Oct. 2006

NAME OF INVENTOR Matthias Fryda
SIGNATURE OF INVENTOR *M. Fryda* DATE: 23 Oct. 2006

NAME OF INVENTOR _____
SIGNATURE OF INVENTOR _____ DATE: _____

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SIGNATURE OF INVENTOR _____ DATE: _____

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SIGNATURE OF INVENTOR _____ DATE: _____

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) AND 1.27 (c)) - SMALL BUSINESS CONCERN			Docket No. 03100326AA
Application No. 10/599,267	Filing Date 09/25/2006	Patent No. N/A	Issue Date N/A
Applicant/ M. Stadelmann et al. Patentee: N/A			
Invention: ELECTRODE ASSEMBLY FOR THE ELECTROCHEMICAL TREATMENT OF LIQUIDS WITH A LOW CONDUCTIVITY			
<p>I hereby declare that I am:</p> <p><input type="checkbox"/> the owner of the small business concern identified below:</p> <p><input checked="" type="checkbox"/> an official of the small business concern empowered to act on behalf of the concern identified below:</p> <p>NAME OF CONCERN: <u>G.E.R.U.S. Gesellschaft für elektrochemisches Recycling Umwelt- und Solartechnologie mbH</u></p> <p>ADDRESS OF CONCERN: <u>Ostendstrasse 1, 12459 Berlin Germany</u></p> <p>I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.</p> <p>I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the above identified invention described in:</p> <p><input type="checkbox"/> the specification filed herewith with title as listed above.</p> <p><input checked="" type="checkbox"/> the application identified above.</p> <p><input type="checkbox"/> the patent identified above.</p> <p>If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed on the next page and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).</p>			

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Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☒ no such person, concern or organization exists.
☐ each such person, concern or organization is listed below.

FULL NAME
ADDRESS

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

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Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or, at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING:

P. Kering / *Petra Kering*

TITLE OF PERSON SIGNING

OTHER THAN OWNER:

Leiterin der Ökonomie

ADDRESS OF PERSON SIGNING:

G.E.R.U.S. Gesellschaft für elektrochemisches Recycling Umwelt- und Solar-
 Ostendstrasse 1 technologie mbH
 12459 Berlin Germany

SIGNATURE:

Petra Kering

DATE:

17.10.2006

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(d) AND 1.27 (c)) - SMALL BUSINESS CONCERN			Docket No. 03100326AA
Application No. 10/599,267	Filing Date 09/25/2006	Patent No. N/A	Issue Date N/A
Applicant/ M. Stadelmann et al. Patentee: N/A			
Invention: ELECTRODE ASSEMBLY FOR THE ELECTROCHEMICAL TREATMENT OF LIQUIDS WITH A LOW CONDUCTIVITY			
<p>I hereby declare that I am:</p> <p><input type="checkbox"/> the owner of the small business concern identified below:</p> <p><input checked="" type="checkbox"/> an official of the small business concern empowered to act on behalf of the concern identified below:</p>			
NAME OF CONCERN: <u>CONDIAS GmbH</u>			
ADDRESS OF CONCERN: <u>Fraunhofer Strasse 1b, 25524 Itzehoe, Germany</u>			
<p>I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.</p>			
<p>I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the above identified invention described in:</p> <p><input type="checkbox"/> the specification filed herewith with title as listed above.</p> <p><input checked="" type="checkbox"/> the application identified above.</p> <p><input type="checkbox"/> the patent identified above.</p>			
<p>If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed on the next page and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).</p>			

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NAME OF PERSON SIGNING:

Thorsten Matthée

TITLE OF PERSON SIGNING
OTHER THAN OWNER:

Managing Director

ADDRESS OF PERSON SIGNING:

CONDIAS GmbH

Fraunhofer Strasse 1b

25524 Itzehoe Germany

SIGNATURE:

Thorsten Matthée

DATE:

31. Oct. 2006